

08-18-00

SECTOR \$

Page 1 of 2

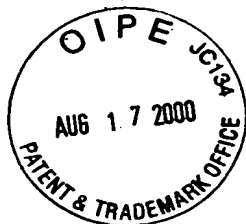
CERTIFICATE OF EXPRESS MAILING

(3)

I hereby certify that this correspondence is being deposited with the United States Postal Service, Express Mail # EL688392022US, postage prepaid, in an envelope addressed to Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231-9999 on August 17, 2000

August 17, 2000

Patricia Gamble
Patricia Gamble



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FILING COMPLETION UNDER RULE 53(f)

COMPLETION Under
Rule 53(f)

In re PATENT APPLICATION of

Inventor(s): Grubbs et al.

Appln. No.: 09
Series Code ↑

576,370
Serial No. ↑

Atty.Dkt.

PMS-260726
M#

CIT-3021
Client Ref

Attn: Application Division

Filed: May 22, 2000

Title: IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

Commissioner of Patents
Washington, DC 20231
Attn: Box Missing Parts

Date: August 17, 2000

Sir:

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received
2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☒ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
 - a. ☐ Abstract
 - b. # pages of Specification (only spec. & claims)
 - c. ☐ Drawing Fig(s).
4. Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/135,493	05/24/99	(2) 60/142,853	07/07/99

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in _____

8.

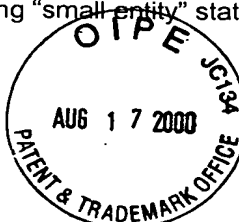
Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	

9. _____ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) _____
in U.S. Application No. _____ / filed on _____

10. ☒ Attached: 1 (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27.

11. ☒ Attached: Request for correction of Official Filing Receipt

12. ☐ Preliminary Amendment:



THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Code
13. Basic Filing Fee Design Application				\$310/\$155		106/26
Not Design Application				\$690/\$345	+345	101/201
14. Total Effective Claims	35	minus 20 =	15	x \$18/\$9	+135	103/203
15. Independent Claims	6	minus 3 =	3	x \$78/\$39	+117	102/202
16. If any proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$260/\$130	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+0	105/205
18.					\$597	
19. Original due date:				08/14/00		
20. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached				(1 mo) \$110/\$55 =	+	115/215
				(2mos) \$380/\$190 =		116/216
				(3mos) \$870/\$435 =		117/217
				(4mos) \$1360/\$680 =		118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee.				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =					\$637	

Our Deposit Account No. 03-3975

Our Order No. 20072

260726

C#

M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Madison & Sutro LLP
Intellectual Property Group**

Attn: Calendar/Docket Department
50 Fremont Street
Fifth Floor
San Francisco, CA 94105-2230
Tel: (415) 983-1000
Atty/Sec: TVG/pdg

By Atty: Tanuja V. Garde

Sig:

Reg. No. 44,697

Fax: (415) 983-1200
Tel: (415) 983-1586

FORMALITIES LETTER



OC00000005307489

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/576,370	05/22/2000	Robert H. Grubbs	PMS-260726

Pillsbury Madison & Sutro LLP
Intellectual Property Group
50 Fremont Street Fifth Floor
San Francisco, CA 94105-2230

Date Mailed: 08/09/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$504.
 - \$270 for 15 total claims over 20.
 - \$234 for 3 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1324.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/21/2000 WKOROMA 00000064 09576370
 01 FC:201 345.00 OP
 02 FC:202 117.00 OP
 03 FC:203 135.00 OP
 08/30/2000 JWSHNG 00000007 033975 09576370
 01 FC:205 65.00 CH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re PATENT APPLICATION OF

Inventor(s): Grubbs et al.

Appln. No.: 09 | 576,370

Series Code ↑

Serial No. ↑

Filed: May 22, 2000

ATTENTION: Office of Initial Patent Examination
Customer Service Center

Title: IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

Date: August 17, 2000

Asst. Commissioner of Patents
Washington, D.C. 202031

Sir:

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data which is

☐ incorrectly entered
Error in

and/or

☒ omitted

Correct data1. ☐ Applicant's Name

1.

2. ☐ Applicant's Address

2.

3. ☐ Title

3.

4. ☐ Filing Date

4.

5. ☐ Serial Number

5.

6. ☐ Foreign/PCT Application Re

6.

7. ☒ Other7. 2ND PROVISIONAL APPLICATION # 60/142,853,
FILED 07/07/99

3. It is understood that the PTO no longer charges for correcting filing receipts even when the error is applicants' mistake, but if that is incorrect and a fee is due for this correction please charge our Deposit Account No. 03-3975 . Attorney Docket No. 20072 026,726

Pillsbury Madison & Sutro LLP
Intellectual Property Group

Calendar/Docket Department
P.O.Box 7880
50 Fremont Street
San Francisco, CA 94120-7880
Tel: (415) 983-1000
Atty/Sec: TVG/PDG

By Atty: Tanuja V. GardeReg. No. 44,697Sig: 

Fax: (415) 983-1200
Tel: (415) 983-1586

(Attach Filing Receipt copy and PTO receipt PAT-103A)

FILING RECEIPT



OC000000005307488

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/576,370	05/22/2000	1621	0	PMS-260726	3	35	6

Pillsbury Madison & Sutro LLP
Intellectual Property Group
50 Fremont Street Fifth Floor
San Francisco, CA 94105-2230**RECEIVED**

AUG 11 2000

PILLSBURY, MADISON & SUTRO, LLP
Date Mailed: 08/09/2000
SAN FRANCISCO

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Robert H. Grubbs, South Pasadena, CA ;
Matthias Scholl, Pasadena, CA ;

Continuing Data as Claimed by Applicant

THIS APPLN CLAIMS BENEFIT OF 60/135,493 05/24/1999 and 60/142,853 filed 07/01/99

Foreign Applications

If Required, Foreign Filing License Granted 08/08/2000

Title

Imidazolidine-based metal carbene metathesis catalysts

Preliminary Class

556

Data entry by : LADRINGAN, JUDITH

Team : OIPE

Date: 08/09/2000



CERTIFICATE OF EXPRESS MAILING

Page 1 of 2

I hereby certify that this correspondence is being deposited with the United States Postal Service, Express Mail # EL492832082US, postage prepaid, in an envelope addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231-9999 on May 22, 2000.

May 22, 2000

Guy Powers
Guy Powers

EL492832082US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



REQUEST FOR FILING APPLICATION
Under Rule 53(a), (b) & (f)
(No Filing Fee or Oath/Declaration)
(Do NOT use for Provisional or PCT Applications)
Use for Design or Utility Applications

Copy

RULE 53(f) NO DECLARATION

Assistant Commissioner of Patents and Trademarks
Washington, DC 20231
Attn.: Box Patent Application

Atty. Dkt.

PMS-260726
M#

CIT-3021
Client Ref

Date:

May 22, 2000

Sir:

1. This is a Request for filing a new Patent Application ☐ Design ☒ Utility) entitled:

2. (Complete) Title: **IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS**

without a filing fee or Oath/Declaration but for which is enclosed the following:

3. ☒ Abstract 1 page(s).

4. 37 Pages of Specification (only spec. and claims); 5. ☐ Specification in non-English language

6. 35 Numbered claim(s); and

7. ☒ Drawings: 3 sheet(s) ☒ 1 set informal; 8. ☐ formal of size: ☐ A4 ☐ 11"

9. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1) 60/135,493	05/24/99	(2) 60/142,853	07/07/99

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	

11. (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date)
in U.S. Application No. / filed on

12. ☐ This is a reissue of Patent No.

13. ☒ See top first page re prior Provisional, National, International application(s) (X box only if info is there and do not complete corresponding item 14 or 15.)

14. ☐ **Amend the specification** by inserting before the first line -- This is a ☐ Continuation-in-Part
☐ Divisional ☐ Continuation ☐ Substitute Application (MPEP 201.09) of:

14(a) ☐ National Appln. No. / filed -- (M#)

14(b) ☐ International Appln. No. PCT/ filed which designated the U.S. --

15. ☐ **Amend the specification** by inserting before the first line: --This application claims the benefit of U.S. Provisional Application No. 60/ , filed --

16. Extension to date: ☐ concurrently filed ☒ not needed ☐ previously filed